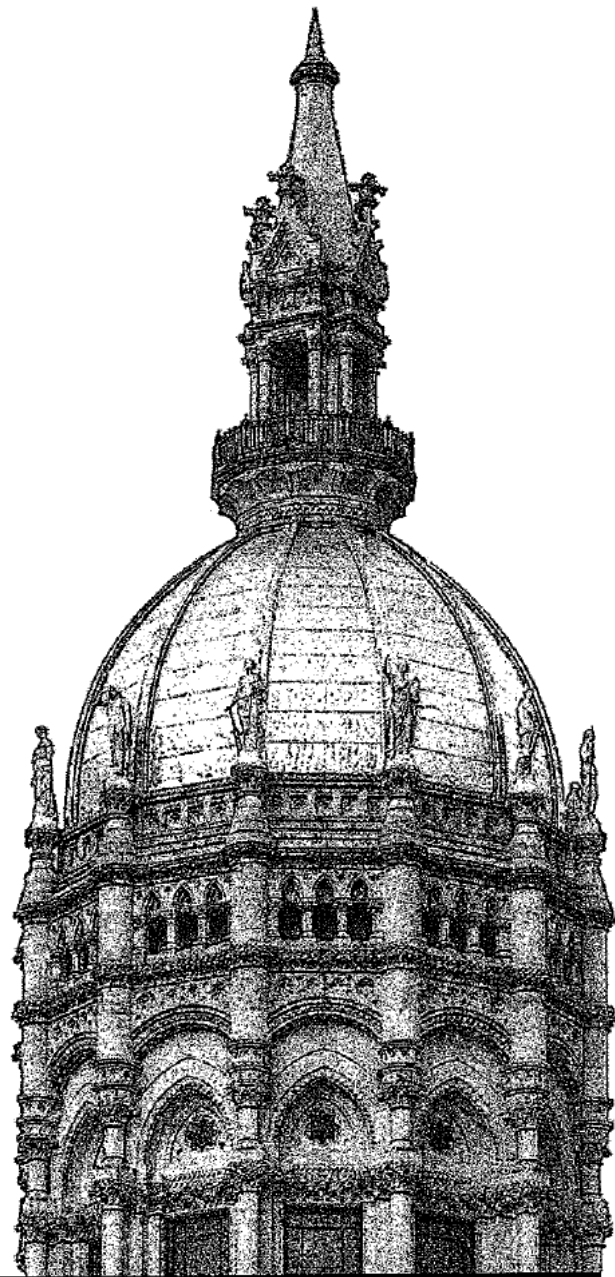


State Long-Term Planning

December 2007



**Legislative Program Review and
Investigations Committee**

Connecticut General Assembly

**CONNECTICUT GENERAL ASSEMBLY
LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE**

The Legislative Program Review and Investigations Committee is a joint, bipartisan, statutory committee of the Connecticut General Assembly. It was established in 1972 to evaluate the efficiency, effectiveness, and statutory compliance of selected state agencies and programs, recommending remedies where needed. In 1975, the General Assembly expanded the committee's function to include investigations, and during the 1977 session added responsibility for "sunset" (automatic program termination) performance reviews. The committee was given authority to raise and report bills in 1985.

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LEGISLATIVE PROGRAM REVIEW
& INVESTIGATIONS COMMITTEE

State Long-Term Planning

DECEMBER 2007

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SPECIAL TRIBUTE TO THE LATE DR. KEON CHI

THE LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE MEMBERS AND STAFF WOULD LIKE TO PAY TRIBUTE TO THE LATE DR. KEON CHI. DR CHI'S CONTRIBUTIONS TO THIS REPORT AND HIS PARTICIPATION IN THE NOVEMBER 8, 2007 COMMITTEE-SPONSORED FORUM WERE INVALUABLE TO THE STUDY. DR. CHI, A RENOWNED EXPERT IN STATE GOVERNMENT AND PLANNING FOR THE COUNCIL OF STATE GOVERNMENTS, WAS ALSO A TRUE GENTLEMAN. DR. CHI WAS TRAGICALLY KILLED IN A CAR ACCIDENT EARLY IN 2008, BUT HIS WORK WILL LIVE ON.

Introduction

State Long-Term Planning

Purpose

In early 2007, nonprofit groups, including Connecticut Voices for Children, requested that the program review committee examine the state's structure and process for conducting long-term planning. This request stemmed from the stated perception that Connecticut does not emphasize foresight and a proactive approach to establishing public policy, but rather focuses on reacting to crises.

The Governing Performance Project, which periodically grades states in four different categories based on several factors, also reinforced this perception. The project issued Connecticut a C- rating in 2005 in the information category, which includes each state's comprehensive and long-term planning capabilities. Only two states were issued a lower rating in that category. (See Appendix A for a summary of the project and a listing of grades by state.) In response to these perceptions, the committee authorized a study to examine the state's long-term planning efforts.

Focus of Study

The committee approved a scope of study that focuses on how effective the state's long-term planning process is and how it can be improved. For the purposes of the study, long-term planning is defined as "a comprehensive plan for five years or more that outlines broad long-range goals and objectives for the state, and is a strategic plan that measures progress and assesses how state agencies are meeting those broad goals." As opposed to plans developed by individual agencies, in this study long-term and strategic planning means a comprehensive process that establishes a broad vision for the future of the state and its residents. Thus, the terms "long-term" and "strategic" planning will be used interchangeably to refer to the dynamic practice of determining where the state wants to be and how it will get there, and measuring progress toward achieving the desired outcomes.

Excluded from the focus of this study are a discussion of Regional Planning Organizations, and any detailed analysis of the State Plan of Conservation and Development. Both of these are covered in a separate 2007 committee study on Connecticut's Regional Planning Organizations.

Methods

Committee staff first developed a list of questions to frame and guide the study, and uses the questions as the organizational framework for the Findings and Recommendations chapter of the report. The questions staff developed are:

- what is state long-term and strategic planning?
- why do long-term and strategic planning?

- what are the models for doing it well?
- how do we (Connecticut) do it/ not do it?
- what's wrong with the way we do it?
- why should we do it better?
- how should we do it better? and
- what will it take to do it better and is it worth it?

Program review staff met with current and former personnel from various state agencies, including the Office of Policy and Management, the primary planning agency in state government. Staff also interviewed representatives of academia, relevant nonprofit groups – including Voices for Children, the United Way of Connecticut, 1,000 Friends, and the Hartford Foundation for Public Giving – and associations representing business, including the Connecticut Economic Research Council (CERC).

Staff also researched the way other states conduct long-term and strategic planning. Some states were suggested by experts as models in the planning area, and others were chosen because of geographical proximity to Connecticut. Telephone interviews were conducted with representatives from planning agencies in those states as well as national associations and advocacy groups. Committee staff gathered information regarding the organizational and governance structures of long-term and strategic planning groups in other states, as well as what and how goals are set. When it was available, quantitative data about staff and funding were also collected.

The study examined historical efforts undertaken to conduct comprehensive planning in Connecticut and the results, and committee staff also inventoried current state agency planning efforts. Further, a number of questions related to state long-term planning efforts were included in a survey sent to municipal chief elected officers as part of the committee's study on Regional Planning Organizations, and the results are presented in Table IV-1 in Chapter Four.

When the staff presented the briefing information to the committee in September, members asked staff to organize a forum inviting representatives from other states that might be considered models in conducting state planning. The forum was to allow committee members to hear first-hand how other states engage in this process and what the benefits and drawbacks are.

The committee held such a forum on November 8, 2007 and participants were:

- Dr. Keon Chi, an expert on state planning efforts with the Council of State Governments;
- Ms. Jane Kusiak, Executive Director of the Council on Virginia's Future; and
- Ms. Larisa Benson, Executive Director of the Government Management Accountability and Performance (GMAP) project of Washington State.

The material covered in the forum largely provides the framework for answering the questions of the study, and also forms the basis of much of the recommendations in this report. The forum helped the program review committee lay out a model for how Connecticut might implement a state planning process, and what resources it would take to do that.

Report Format

The report contains five chapters. Chapter One addresses some of the global questions around the definitions of long-term and strategic planning in state government, and the recent melding of the two into a dynamic process. The chapter also explains the reasons why states should engage in a comprehensive planning process. Chapter Two describes some of the recent models of state planning efforts and some of the characteristics of those structures. In addition, the chapter also describes what the best practices for state planning efforts appear to be. Chapter Three includes a summarized chronology of Connecticut's planning efforts through the years. Chapter Four provides some analysis of what the state's planning efforts currently are, and how those efforts are deficient. An inventory of plans currently developed by state and quasi-public agencies is contained in Appendix B.

Finally, Chapter Five contains a synopsis of the committee's findings arrived at during the course of the study, and four major recommendation areas including: the creation of an oversight council; the location, organization, and functions of the council and its staff; linking efforts to performance and accountability efforts already underway; and requiring certain transparency and accountability measures to be adopted.

Agency Response

It is the policy of the Legislative Program Review and Investigations Committee to provide agencies included in the scope of the review with the opportunity to comment on the committee findings and recommendations prior to the publication of a study in final form. The Office of Policy and Management was sent a copy of the report for comment but chose not to respond.

Chapter One

What is Long-Term and Strategic Planning?

Strategic planning is different from long-term planning, although the terms are used interchangeably. Strategic planning tends to involve an analysis that assesses the strengths, weaknesses, opportunities, and threats (also known as a SWOT analysis) to a state, government, or organization. This type of planning emphasizes the evaluation of state goals, establishes desired outcomes, considers a wide range of policy choices to achieve those outcomes, and identifies measures, or benchmarks, to gauge progress.¹

It is easier to say what long-term planning *is not*, rather than what *it is*. While it generally creates a vision, and establishes long-range goals for what a desired future might be, it typically does not offer guidance for how an organization might achieve certain goals nor does it provide a framework for evaluating policies or programs or dealing with reduced budgets.² Further, long-term planning may set overall priorities for a state but it is not generally used for decision-making at the state government level. Strategic planning, on the other hand, is often tied to results-based, or performance, budgeting.

Long-term planning emphasizes data collection, but largely to forecast needs. For example, a department might determine from data projections that the number of clients will double in the next ten years. Rarely will long-term planning alone seek to evaluate programs, departments, or agencies. Long-term plans tend to assume that programs will continue, and that budget appropriations will expand according to economic conditions over time. While many states, including Connecticut, require several agencies to develop long-term plans, it is not clear that alternative policy choices are considered in the planning process.³

Long-term planning itself is not enough to achieve desired outcomes or avoid the actual cost of bad results. Rather, action steps, or strategies, and measuring progress should reinforce long-term planning. In combination with performance measurement, long-term planning becomes known as long-term and strategic planning. Increasingly, states are linking the two into one process. A state's long-range planning efforts establish a vision and overarching goals for its residents, and strategic planning creates an implementation roadmap for agencies and programs to achieve those goals. Data collection is important to the process, both broadly, in order to properly forecast trends, as well as more targeted, to track progress toward goals.

Thus, strategic planning is a relatively recent phenomenon in state government, and has become part of a continuous process known as “governing for results”,⁴ or “results-based accountability”.⁵ The governing for results approach uses a four-step process as outlined below.

¹ Hatry, Harry, et al. 2003. “Governing for Results in the States”. *Book of States 2003*. The Council of State Governments: Lexington, KY. P. 411-417.

² Kluger, Miriam P., and William A. Baker. 1994. *Innovative Leadership in the Nonprofit Organization: Strategies for Change*. Child Welfare League of America, Inc.: Washington, D.C.

³ Hatry, Harry, et al. 2003

⁴ Ibid.

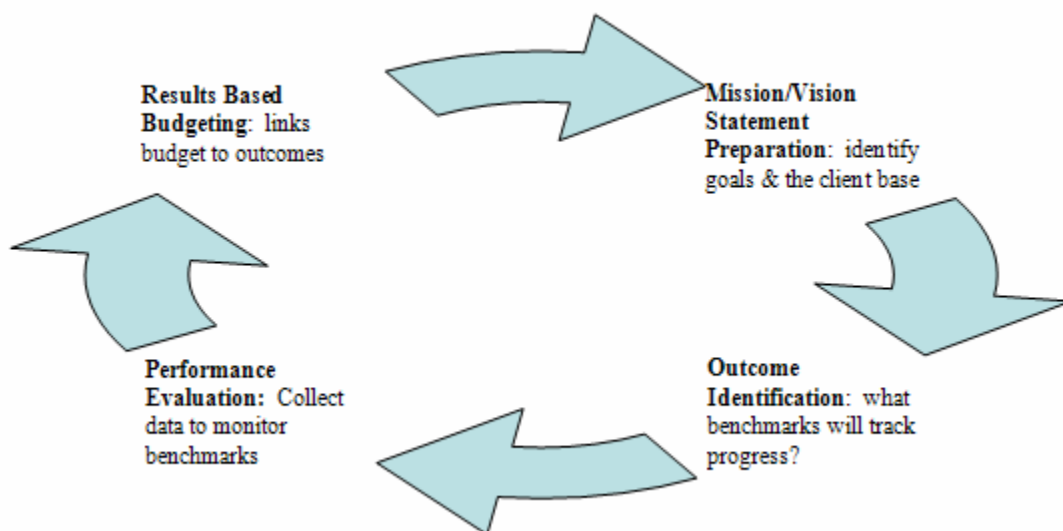
⁵ Freidman, Mark. 2005. *Trying Hard is Not Good Enough: How to Produce Measurable Improvements for Customers and Communities*. Trafford Publishing, Victoria, B.C.

While the steps below are written to apply to individual agencies, their application can be transferred to a planning process for state government.

1. **Mission Statement Preparation:** The first step in *Governing for Results* is the development of a mission or vision statement for state agencies. This should also identify important citizen groups that make up the agency's customer base.
2. **Outcome Identification:** Agencies then identify specific outcomes that will feed the mission statement. The selection of outcomes is extremely important, because they need to measure appropriate results, not penalize agencies for trends over which they have little or no control.
3. **Performance Measurement:** Agencies need to collect data to evaluate progress towards outcomes. These are sometimes called progress indicators or benchmarks.
4. **Results-Based Budgeting:** The legislature should review progress indicators or benchmarks and link the budget to outcomes. This includes the identification of programs with both strong and poor performance. (This part of strategic planning often is given greater weight, or used exclusive of the other steps).

Strategic planning is therefore more closely linked to performance measurement and public decision-making than is long-term planning. The following chart outlines the interconnectedness of each step in the planning process, and the necessity of continuous updates to strategic plans.

Figure I-1. State Planning in “Governing for Results” Context



Why Do Long-Term and Strategic Planning?

Review of public policy and public administration literature, as well as consultations with experts, reveals two central interpretations of the benefits of long-term and strategic planning: *the pursuit of preferred futures, and the avoidance of the cost of bad results.*

THE PREFERRED FUTURES APPROACH

This approach argues that long-term planning allows public policymakers to choose their preferred future for the state.⁶ While reactionary governance presupposes that policymakers have little or no control over future problems and successes, proactive governance assumes that present decisions and policy choices shape the future.

This approach places a strong emphasis on data collection to forecast state trends over time. It also assumes that policymakers can agree on an overarching vision for the state, and on the policies required to realize that vision.

AVOIDING THE COST OF BAD RESULTS

According to this approach, the cost of bad results is the product of reactionary governance.⁷ This approach assumes that poor policy decisions, or a lack of decisions altogether, lead to expensive political crises, although putting a price tag on errors in policy or program choices is difficult. The cost of bad results, like the preferred futures, also assumes that policymakers can shape the state's future, though it is more closely tied to budgetary consequences.

This approach also places a strong emphasis on data collection, but not simply for forecasting purposes. The approach analyzes programs and policies according to results, which are measured through data. The cost of bad results also assumes that policymakers are willing to invest in programs and policies that will not necessarily show results prior to the next election cycle.

OTHER APPROACHES

There are several other perceived advantages to long-term and strategic planning, particularly as part of a strategic management process. Long-term and strategic planning helps smaller states, which are more vulnerable to external influences, adapt to shifts in national and international political and economic climates.⁸ Strategic planning results in more focused discussions between policymakers and administrators and improved coordination among departments. Further, because strategic planning links budgets to outcomes, it helps to identify squandered resources, such as duplicate programs.

⁶ Chi, Dr. Keon S. 1983. *State Futures Commissions: A Survey of Long Range Planning Experiences*. The Council of State Governments: Lexington, KY.

⁷ Friedman, Mark. 2005. *Trying Hard is Not Good Enough*.

⁸ Boston, Jonathan, and June Pallot. 1997. "Linking Strategy and Performance: Developments in the New Zealand Public Sector". *Journal of Policy Analysis and Management*. 16:3. P. 382-404.

Long-term and strategic planning encourages governments to adapt to rapidly changing environments.⁹ First, it helps establish funding priorities during fiscally constrained periods. Second, it creates more accountable and transparent government. Finally, it allows the citizenry to see more clearly where state tax dollars are being spent and provides an opportunity for greater citizen participation in decision making.

What States Conduct Long-Term and Strategic Planning?

States began to consider planning an important government function in the mid-twentieth century.¹⁰ Some think long-term planning has its roots in infrastructure projects where plans had to be developed to satisfy the financing requirements of bonding and other long-term debt. In the early 1970s, the growing popularity of comprehensive long-term planning is evident in the sheer number of such endeavors initiated in the early 1970s.¹¹ Many of these were citizen or private sector initiatives.

Long-term planning projects fell out of favor in the mid-1980s, perhaps due to the discontinuation of federal funds available to the states for planning purposes. By the 1990s, increased attention to budget constraints and a perception of bloated bureaucracies resulted in scarce resources for planning. However, strategic management,¹² traditionally reserved for the private sector, was increasingly applied to public sector bureaucracies.

By the late 1990s, many states were again conducting long-term planning projects. Pioneers include Oregon, which began the Oregon Progress Board in 1989, and Utah, which launched *Utah Tomorrow* in 1990. By 2000, all of the New England states had initiated, with varying degrees of success, a long-term planning project. Increasingly, states are concentrating on strategic planning as part of governing for results, rather than the traditional plans, which were simply long term.

What do Long-Term and Strategic Planning Projects Have in Common?

This study analyzes long-term and strategic planning projects in New England and in a few other states. While a more detailed analysis of the projects may be found in Chapter Two, a few generalizations about 15 long-term and strategic planning projects in New England and other states are discussed below.

General Purpose

Although states may choose different models to create their planning projects, all of them have the same broad purposes. These are to: assess the current landscape of the state; forecast the consequences of state and national trends; identify the state's preferred future; and determine a course of action to reach it.¹³

⁹ Chi, Dr. Keon S. July, 2005. *Foresight in State Government*. Presentation at the World Future Society Annual Conference, Chicago, USA.

¹⁰ Boston, Jonathan, and June Pallot. 1997.

¹¹ Chi, Dr. Keon S. 1983.

¹² Strategic management is generally defined as providing overall direction to an organization through strategy formulation, implementation, and evaluation.

¹³ Ibid.

Goals or Outcome Areas

The state planning projects reviewed by committee staff have anywhere from three to 13 stated outcomes. In general, the outcomes identified by planning projects may be organized into three broad categories: the physical environment; social services; and the economy.

Physical environment. The physical environment category includes outcomes such as smart growth, conservation of natural resources, and preserving cultural and historic sites, as well as open space, improving water and air quality, and the maintenance of a “traditional way of life” (Maine). Several of these outcomes are also measured by performance indicators in strategic planning projects. The physical environment is popular with the states for a number of reasons – it is readily identifiable by its physical nature; its progress has long been required to be measured by the federal Environmental Protection Agency; and it arguably has the greatest local impact on everyday life.

Social and human services. The social services category includes outcomes in areas such as housing, health, public safety, and lowering crime, as well as improving the standard of living, raising incomes, and “quality of life” (New Hampshire, Maine). Virginia and Utah both include a government outcome, which emphasizes transparency and accountability; New Jersey also desires “public service efficiency”.

Economy and economic development. The economy category includes outcomes such as economic development, growth, education, job creation, and transportation. In general, this is the driving category for long-term and strategic planning projects in many states.

Oversight or Governance Structure

The oversight committees for long-term and strategic planning projects have memberships that range from 13 (Utah Tomorrow) to 60 (Envision Utah). In general, all models have an oversight committee. The only exceptions are found within a state agency hybrid model, which emphasizes results-based budgeting (Maryland, Washington).

Membership composition on oversight committees is a combination of public, private, and citizen representatives. Public members are representatives from state agencies and legislative leaders. Sometimes, there are regional or municipal representatives as well (Rhode Island, Oregon). In state agency models, the governor is generally chair, although this is the case with many public-private joint commissions as well. Private members include business leaders and lobbyists. Citizen members come from a variety of backgrounds, but usually have experience in either the private, nonprofit, or public spheres.

Chapter Two

What are the Models of State Long-Term Planning?

State long-term planning initiatives experienced a jump in popularity in the 1970s, perhaps due to federal government emphasis on planning and citizen input for funding purposes. By the 1980s¹⁴ the attention to planning appeared to have waned. Since the early 1990s, however, there has been renewed interest in both long-term and strategic planning, and several initiatives have cropped up across state governments. These recent long-term and strategic planning initiatives are in response to the rapid demographic and economic changes of the past two decades. As well, increasingly constrained state revenues have forced state governments to establish a better way of making funding decisions.

This chapter reviews the models of long-term and strategic planning as they have existed in Connecticut and New England. In addition, the chapter examines best practices, identified through interviews and literature reviews, in other select states. (See Table II-1). With a few exceptions, the examples of planning models used here are those initiated since the 1990s.

SUMMARY OF MODELS

The executive branch spearheaded the majority of state long-term and strategic planning projects, although some are created jointly with the legislature or private groups.¹⁵ Most are established as ad hoc or provisional commissions, but reports are submitted to the governor during the same term. Most also have an oversight entity like a board, council, or committee -- made up of public and private members -- which performs oversight functions. Responsibility for the appointment of the committee members varies according to the model.

In general, there are four commonly used models of state long-term and strategic planning,¹⁶ although as with many paradigms, often the differences are not all that clear-cut, and hybrids and mixtures exist. The models are:

- Public-Private Joint Commission Model
- Citizen Commission Model
- State Agency Model
- Legislative Model

Specific, policy-oriented long-term planning projects, university-based models, and regional planning projects (i.e., across state lines), are three other models examined here.

¹⁴ Boston, Jonathan, and June Pallot. 1997. "Linking Strategy and Performance: Developments in the New Zealand Public Sector". *Journal of Policy Analysis and Management*. 16:3. pp. 382-404.

¹⁵ Chi, Dr. Keon S. July, 2005. *Foresight in State Government*. Presentation at the World Future Society Annual Conference, Chicago, USA.

¹⁶ Chi, Dr. Keon S. 1983. *State Futures Commissions: A Survey of Long Range Planning Experiences*. The Council of State Governments: Lexington, KY.

Table II-1. Characteristics of Selected State Planning Models in Selected States

		Status	Year Started	Model	Committee Membership #	# of Staff	Budget from General Fund FY07	Federal Funds / Other Revenue FY07	# of Outcomes	Agency Interaction*
KY	Long-Term Policy Research Center	A	1992	L	21	6	\$535,600	n/a	5	M
VA	Council on Virginia's Future	A	2003	P	18	5	\$600,000	n/a	7	M
OR	Oregon Progress Board	A	1989	P	12	2	\$224,000	\$400,000 Private	6	L
UT	Utah Tomorrow	D	1990	S	13	n/a	u/a	u/a	10	L
ME	Maine State Planning Office	A	1968	S	13	55	\$2,230,613	\$5,173,831 Federal	2	M
NH	New Hampshire Office of Energy & Planning	A	2004	S	n/a	n/a		\$1,949,925 Fees	13	L
NJ	New Jersey's State Planning Commission	A	2004	S	17	27	\$1,907,000	\$2,295,000 Fees	8	M
WA	Washington's GMAP	A	2006	S	n/a	6	\$860,000	n/a	n/a	H
RI	Rhode Island's State Planning Council	A	1985	S	17	22	\$1,031,000	\$4,124,000 Federal	6	M
MD	Maryland's 'StateStat'	A	2007	S	n/a	4	\$369,000	n/a	n/a	H
MN	Minnesota Milestones	D	1991	P	19	5	u/a	u/a	4	L
NH	New Hampshire State Development Plan	A	1995	P	n/a	n/a	u/a	u/a	3	L
ME	Commission on Maine's Future	D	1977	P	40	1	u/a	u/a	4	L
UT	Envision Utah	A	1997	P	60	9	\$1,165,000 State Grant	n/a	6	L
NC	North Carolina Progress Board	A	1995	S	24	6	u/a	u/a	8	L
FL	Enterprise Florida	A	1996	PO	64	80	\$1,660,000	\$10,000,000 Private	6	L
CT	CT Progress Council	D	1995	P	27	u/a		n/a	5	M
VT	Vermont Economic Progress Council	D	1994	PO	9	1	\$175,000	n/a	3	M

Source: Information collected by committee staff via phone interviews and budget document reviews

Legend

Status: A (active); D (defunct)

Model: L (legislative agency); S (state agency); P (public-private joint commission); PO (policy-oriented)

Agency Interaction: L (low – there is little or no interaction); M (medium – agencies may have to submit information and/or consult Committee, but there is no enforcement mechanism); H (high – agencies must abide by decisions, there is an enforcement mechanism)

N/A: not applicable; U/A: unavailable

*This is a subjective determination made by PRI staff after data analysis.

However, these types of projects are not formal models because they generally do not involve comprehensive planning at the state level.

Public-Private Joint Commission Model

This model operates outside of the formal government structure, although occasionally it may have some power over decision-making through enabling legislation. In addition, state agencies may provide staff. Along with the state agency model, this is the most common model found in New England and other selected states. Connecticut's Progress Council, which was established in 1993 and issued an initial report in January 1995 (although now defunct), is an example of a public-private joint commission.

If the commission derives from the executive branch, the private sector, or a combination thereof, the governor is generally responsible for the bulk of appointments to the oversight committee. If the commission derives jointly from legislative leadership and the executive branch, they tend to share appointment responsibilities.

The number of commission members varies greatly in the public-private joint commission model, from 19 in Minnesota (its planning initiative was entitled *Minnesota Milestones*) to 60 in Utah (where the planning model is known as *Envision Utah*, replacing *Utah Tomorrow*). When Connecticut's Progress Council was active, it had 27 members. In general, public-private joint commissions tend to have the greatest number of oversight body members of all the models examined here. Membership is usually composed of the governor, legislative leaders, private sector representatives, and other unaffiliated citizens.

The majority of public-private joint commissions have little or no interaction with, or authority over, governmental agencies in their respective states and little or no formal influence on public decision-making.

Citizen Commission Model

The citizen commission model operates with less connection to state government than the joint public/private commission. The citizen commission model was popular during the first wave of long-term planning projects in the 1970s, and few examples currently exist.

The citizen commissions have oversight committees, and may or may not produce formal reports that are distributed to decision makers in attempts to influence policy. One hybrid example of this model is the *1,000 Friends* movement.¹⁷ Begun in Oregon in 1975, there are chapters of *1,000 Friends* across the United States, including Connecticut. The organization collects data and forecasts trends, prepares press releases, and lobbies decision-makers for organization-supported policies.

¹⁷ This is a hybrid because *1,000 Friends* is technically an interest group. However, because its main focus is Connecticut's future, and it has a board that includes members from the private sector and academia, it is classified here as a citizen commission.

While some citizen commission models successfully influence policy, the focus of this study is to examine long-term and strategic planning efforts carried out by *state-sponsored entities*. Thus, the citizen commission model was not explored in any great depth.

State Agency Model

As stated above, the state agency model is one of the two most common models in New England, and other selected states. The state agency model operates within the formal government structure, usually within a larger state planning or policy office.

Most of the appointment responsibility for oversight committees in state agency models rests with the governor. However, in a few instances, legislative and executive leaders share committee appointments. The size of the committee is generally smaller than those of public-private commissions, averaging around 20 members. Members may include the governor, legislative leaders, agency commissioners, municipal or regional government representatives, private sector leaders, and citizen representatives. In New Jersey, the State Planning Commission's enabling legislation requires the governor to nominate at least one professional planner.

State agency models generally have more interaction with other state agencies than do public-private commissions. In Maine, New Hampshire, and New Jersey, agencies are required to submit plans to the oversight committees, which then review them and make suggestions. In Rhode Island, submission of plans by municipal governments is required as well. However, in Oregon, the committee merely tracks agency progress but does not review plans, and in Utah, the now defunct *Utah Tomorrow* committee relied on voluntary agency compliance. (In Connecticut, the state agency designated in statute as the planning entity is the Office of Policy and Management. Its historical and current roles are discussed in the next two chapters).

The state agency model is also the preferred model for projects that focus on results-based budgeting. These are usually initiated by the executive branch. In general, these types of projects emphasize data collection in order to allocate resources, and do not necessarily have oversight committees. This association to both the governor and the budget gives these projects great influence over state agencies. However, they do not engage in strategic planning as it was described in the introduction. Two prominent examples of the state agency model are Maryland's StateStat, which Governor O'Malley is set to launch by the end of 2007, and Washington's GMAP (Government Management Accountability & Performance), which Governor Gregoire initiated in early 2005.

The state agency model has formal influence on public decision making. This is because the enabling legislation usually incorporates official duties, such as coordination among departments, into the state agency functions. However, it is unclear how this formal influence functions in practice.

Legislative Agency Model

The legislative planning model operates within the legislature, sometimes as a standing or interim committee. There are very few examples of legislative agency models and only one current example, the Kentucky Long-Term Policy Research Center (LTPRC). The center, created by the Kentucky General Assembly in 1993, is actually a hybrid: it is an instrument of the Kentucky General Assembly and is attached organizationally to the legislature, although the governor has some appointment responsibility. The LTPRC also submits reports to both the legislative and executive branches. However, it is a planning structure often referenced as a model by experts and the literature, and is therefore the example used here for the legislative agency model and in later chapters of this report.

The oversight board of directors for the Kentucky LTPRC is composed of 21 members, including four executive and six legislative branch representatives and 11 members representing academia, local government, nonprofit organizations, and the private sector.

The center has a “think-tank” approach. Its stated mission is “to illuminate the long-range implications of current policies, emerging issues, and trends influencing [Kentucky’s] future.”¹⁸ LTPRC works with other state agencies when research overlaps, but there is no authority over state agency plans or operations and little or no formal influence on public decision-making.

Specific Policy-Oriented Projects

Policy-oriented projects are those that develop long-term and/or strategic plans around a specified policy area. For example, Connecticut’s Conservation and Development Plan is a policy-oriented project. Other examples are the Child Poverty and Prevention Plan, and the state’s Long-term Care Plan.

Connecticut appears to favor this approach (See Chapters Three and Four). For example, the state adopted legislation in 2007 requiring the Department of Economic and Community Development (DECD), in collaboration with a number of other state agencies, to develop an economic development strategic plan (P.A. 07-239). The legislature also established a Blue Ribbon Commission to develop and implement a strategic master plan for higher education (P.A. 07-3).

Policy-oriented projects may adopt any of the four formal models, but tend to be either state agency or public-private partnerships. They also generally have oversight committees, although membership composition depends on the model. For example, New York’s *Project 2015* requires commissioners to work collaboratively as well as independently to prepare agencies for the significant demographic changes forecasted in that state. However, there is little or no input from outside government.

Some public-private partnerships encompass several policy areas, but fall short of being comprehensive state plans. For example, Enterprise Florida covers most policy areas related to economic development (e.g., technology, education, and quality of life). The Florida model has both

¹⁸ Kentucky’s Long-Term Policy Research Center mission statement. Preface in *Challenges for the New Century*, 2000. (page v)

public and private members on their committees. The Child Poverty and Prevention Council in Connecticut has both types of members as well.

Policy-oriented plans generally assume, even require, state agency and municipal/regional government cooperation, and the intent is to have some formal influence over public policy decisions. However, it is unclear how this influence plays out in practice. For example, in Connecticut, the Conservation and Development Plan is supposed to be the guiding document for state and local development. However, while the law requires sizable state projects to be consistent with the plan, bond monies may still be allocated even if inconsistencies exist.

University-Based Model

The university-based planning project may either be undertaken because of a direct mandate from state government, or it may be connected to a research facility with a particular interest in long-term and strategic planning, or policy questions. The North Carolina Progress Board, formerly within the Department of Administration, is in the process of transferring to the University of North Carolina. It will be attached to the University's Board of Governors, although it is unclear if the board will act as an oversight committee.

At the University of Minnesota, the Hubert Humphrey Institute of Public Affairs includes a regional planning and policy research area. Scholars seek state and federal grants to pursue projects focused largely on economic development and transportation. According to the institute's website, state government has occasionally modified policy in response to program reports,¹⁹ although it is unclear how much interaction actually occurs with the executive or legislative branches.

University-based planning projects often do not cost the state significantly, although because they rely heavily on state funding, they risk questions about impartiality. However, the access to experts and other resources make this option very attractive.

Regional Planning Projects

Regional planning projects typically involve one or a few policy areas that cross state boundaries in terms of impact or concern. The New England Interstate Water Pollution Control Commission is an example of where several states get together to plan for water resources for more than just one jurisdiction. This is an illustration of a successful (i.e., active and producing results) ongoing regional approach. Connecticut statutes are rife with references to New England compacts for a wide variety of policy areas, from public safety and corrections to higher education. These statutes often resulted from federal mandates of the late 1960s, but often the mandated compacts became inactive after a period of time. One that is now inactive, but is still referenced in state statutes, is the New England Interstate Planning Compact.

Another, more recent, regional approach to planning around a policy area is the action plan on climate change. The concept for the plan came from the New England Governors and Eastern Canadian Premiers at the group's 2001 annual meeting. The group first developed a plan, and that spurred Connecticut to pass legislation (P.A. 04-252) requiring Connecticut to develop its own

¹⁹ <http://www.hhh.umn.edu/centers/slp/about.html>, accessed August 24, 2007.

Climate Change Action Plan, which was completed in 2005, and covers 15 years -- from 2005 to 2020.

Probably one of the most influential and well-known regional approaches to planning (and measuring progress) is the Southern Growth Policies Board (SGPB). A consortium of 13 southern states and Puerto Rico, it was organized to promote the South as place to live and work. The efforts of the SGPB go beyond one policy area. SGPB recognizes “the important links between quality of life issues – those things that make a community best – and regional prosperity”.²⁰ One exercise the SGPB performs is to establish 15 “quality of life” indicators and measure progress in achieving them through a “community index.”

It is noteworthy that -- based on longevity and producing results-- the more successful regional approaches appear to be those that are not mandated by the federal government, but those that take root because of common interests.

What Makes for Planning Project Success?

BEST PRACTICES

For this analysis, committee staff spoke with experts in the field, consulted literature, and examined data from long-term and strategic planning initiatives in Connecticut, New England, and other selected states. Regardless of the model, there are some overarching aspects of long-term and strategic planning projects that lead to success. Table II-2 at the end of the chapter summarizes the best practices identified in the study.

Location and authority. In general, experts in academia, national organizations, and in Connecticut agencies point out that committed leadership from *both* the executive and legislative branches is important for success. Examination of the projects in this study shows that when planning projects are led solely by the executive branch, they rarely survive changes in administration. Further, legislative commitment and participation is important for implementation of the plan, and funding of the plan’s priorities.

Planning projects need to have “teeth”, that is, formal influence on public decision-making. Further, there needs to be some reason for state agencies to “buy-in” to the planning effort, whether that is tied to agency funding, a publicly stated commitment from agency leadership, or some other method. If there is no requirement for commitment to the plan or a cultural environment that embraces the need to direct their activities to the plan’s goals, agencies may go through the motions, but implementation will be difficult. When planning projects resemble advisory boards, enthusiasm and interest tend to wane.

²⁰ Southern Growth Policies Board 2005 Community Index Report. p.2

Oversight membership. Whatever structure is chosen for oversight – for example, a board of directors, or a steering committee – the more successful ones appear to have a manageable membership size. The number of members should be limited to 20 or fewer. Larger groups either tend to become unwieldy or members believe their influence is weak. Often these larger groups end up splitting into subcommittees, making coordination difficult. This may result in a “right hand doesn’t know what the left is doing” situation. For example, the Connecticut Progress Council had five subcommittees and there was little cross-participation among the sub-groups. Large committee memberships may also result in uneven participation and scheduling difficulties.

Establishing a vision and setting goals. Once a planning body has been formed, the first action step is to create a vision of what is desired for the state’s residents in the future. For example, the vision statement for *Utah Tomorrow* contained 11 broad concepts of well-being for that state’s populace including to “educate [its] citizens by providing an environment that supports life-long learning and occupational skills and that enables Utahns of all ages to reach potential as productive and responsible individuals.”²¹ Some states planning efforts solicit input from the citizenry on what the vision or “preferred future” should be, while others do not.

Once a vision has been adopted, a set of meaningful long-range goals and objectives can be established – a road map on how the vision will be achieved. Goals, as Utah puts it, are the general ends toward which the state directs its efforts. Typically, they address the primary issues facing a state within broad groupings of common concern, such as preserving open space.

Then objectives or clear targets for action can be developed. These should be achievable and ones where progress can be measured. For example, reducing the poverty rate among children to a certain level, or cleaning rivers to a specific standard would be measurable objectives.

Measuring progress. It is important to measure progress at achieving the objectives and hence reaching the goals. Without that, the plan is a policy briefing document and not a process for implementing action. The literature review and interviews with experts conducted by committee staff stress the importance of appropriate indicators for performance measurement. The wrong indicators can skew results, with possibly dire consequences for a results-based budgeting process.

Making the progress measurement step manageable is just as important as selecting the right indicators. There cannot be so many benchmarks or performance measurements that agencies become overwhelmed, or that “measuring progress” becomes more important than the agency’s “core business”. Either of these scenarios will lead to frustration and stall the planning process. The Connecticut Progress Council called for over 300 benchmarks to be reported, while the Oregon Progress Board has 91 benchmarks, which may still be too many.

Further, the planning process should not call for extensive data that are not already collected or reported. While it is an arguable point, it appears that the more successful projects use readily available data, and not sophisticated and esoteric statistics or measurements. The objective is not to establish another data collection system, but instead to find a way to coordinate and assemble the information that is already available so that it can be used at a state level to evaluate progress toward the overarching goals.

²¹ *Utah Tomorrow, Vision Statement in the 2003 Strategic Planning Report*

Public reporting. State plans should be comprehensive in nature, and not merely policy-oriented. While policy-oriented projects are good bases from which to start, successful long-term and strategic plans incorporate one vision and specific outcomes, which reach across policy spheres and state agencies, into one document.

But comprehensive planning should not mean the production of a long document. If a state's long-term plan is viewed as the first step in a process to manage agency performance and results, it need be no more than a few pages that provides broad goals about where the state wants to be and select priority areas for policy attention. Then a strategic plan can be developed, outlining which agencies are responsible for what and by when, and holding agencies accountable for implementing the plan and achieving results.

Ideally, results tied to the plan should be available in a simple format on a well-publicized website so there is transparency and accountability to state residents. *Virginia Performs* is a good example of public access via the Internet to a wealth of information on the state's future goals and how well the state is performing in meeting them.

Table II-2. Best Practices/Key Indicators To Successful Planning

- ✓ Committed leadership from both executive and legislative branches of government
- ✓ An enthusiastic “champion” of the planning process critical to sustainability and success
- ✓ Planning process must have “teeth” – able to influence public decision-making
- ✓ Oversight boards must be of manageable size – no more than 20
- ✓ Oversight board members must believe they have some authority to affect policy, not just advise
- ✓ Viability of process “dependent on the information being viewed as relevant, trustworthy, usable and timely”²²
- ✓ Perception that benefits – strengthening accountability, clearer policy direction, improved coordination, less duplication, and decision-making based on performance -- will outweigh the risks – decisions made based on tradition, or political loyalties, etc.
- ✓ Must have “buy-in” from state agencies
- ✓ Long-range goals should be limited in number and pertain to key policy areas or concerns – less than 10
- ✓ Appropriate indicators should be selected for measuring progress, but benchmarking should not overwhelm agencies
- ✓ Process should provide “accessible, understandable, relevant and timely information and data”²³
- ✓ Should collect no more information than is absolutely necessary; cannot overtax the process by collecting too much data, too often. If data are not used, agencies will see exercise as irrelevant and stop doing it
- ✓ Planning process must not be seen as an end in itself; must be seen as a tool to “promote good governance, modern management practices, innovation and reforms, and better accountability”²⁴
- ✓ Must be used to make decisions, not just an exercise
- ✓ Core cadre of committed planning staff with appropriate knowledge, skills, and training to carry out planning, measuring, evaluating, and reporting functions
- ✓ Process must be transparent and reporting should be public, preferably via a website that is easy to access and traverse

Source: LPR&IC Staff Based on Review of Literature and Interviews

²²Kusek, Jody Zall, and Ray Rist. 2004. *Ten Steps to A Results-Based Monitoring and Evaluation System*. The World Bank, New York. pp. 44-47.

²³ Ibid.

²⁴ Ibid.

Chapter Three

How Have We Done It?

HISTORY OF LONG-TERM PLANNING IN CONNECTICUT

The state of Connecticut has a long history of planning. This chapter outlines the important initiatives that resulted in either comprehensive or policy-oriented long-term plans for the state. The chapter summarizes the state's efforts beginning in 1939 with the creation of the Connecticut Development Commission (CDC), and ends with a brief synopsis of the most recent legislation passed in the 2007 session. (See Figure III-1 for a planning timeline). The summary emphasizes Connecticut's experience with long-term planning in the past 20 years. The current planning landscape within the state agencies and an analysis of the current plans is covered in Chapter Four.

The Rise of Long-Term Planning in Connecticut

The Connecticut Development Commission was created by the legislature in 1939. By the mid-1940s, the 11-member commission had a professional planning staff. The CDC experienced another growth spurt in the 1950s, with the committed support of the executive and legislative branches. According to a former high-level staffer, three events led to this growth.²⁵ These were the:

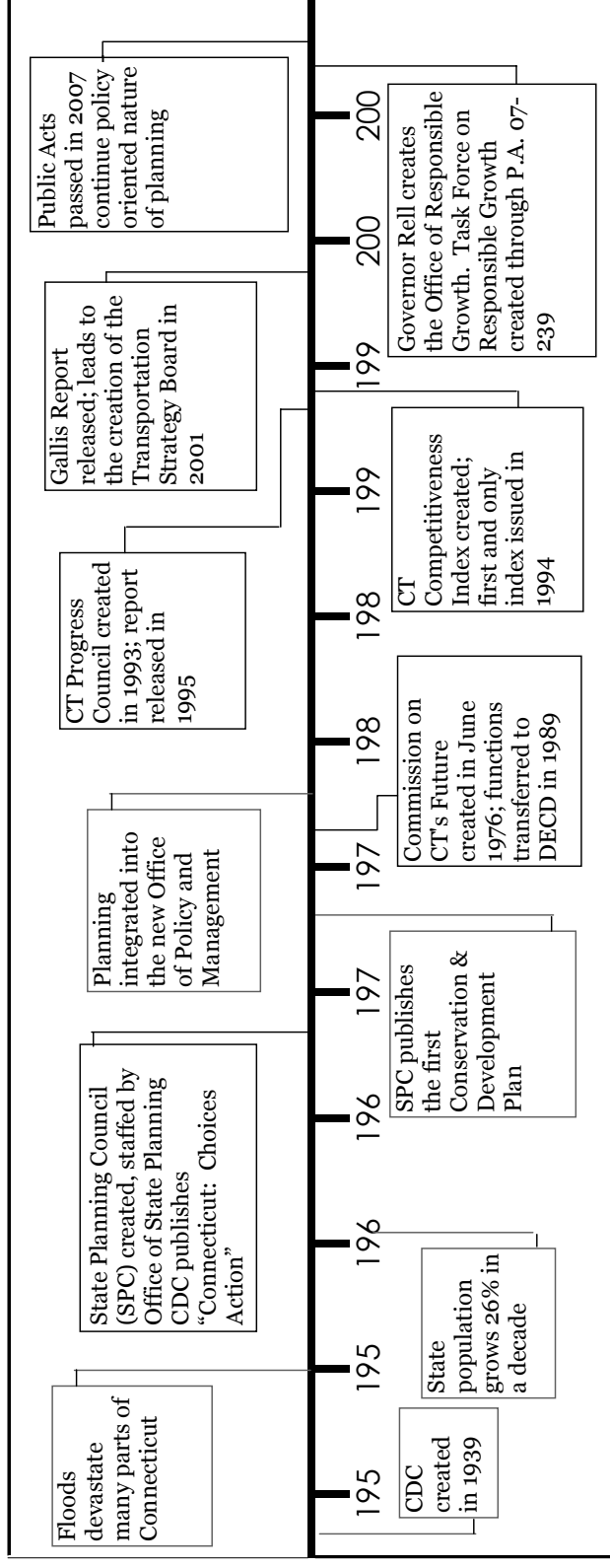
- enormous population increases in Connecticut after World War II;
- floods of 1955, which devastated the Farmington, Naugatuck, and Quinnebaug valleys; and
- availability of funds from the federal government for planning (referred to as the 701 grants).

The first two events illustrated the need for comprehensive state planning, while the latter provided the resources required to fund planning projects. Committed leadership in Connecticut ensured that projects were mandated.

In combination, these three events led to an expansion of CDC staff, as well as to an increase in CDC authority. These increased responsibilities included the identification and administration of “logical economic and planning regions of the state”, and the provision of support to municipalities in the development of their local plans. However, much of the planning remained municipal or regional in scope, and state agencies, while required to provide information, were not bound by the decisions of CDC. Thus, the plans were not comprehensive, and there was no mechanism to mandate implementation.

²⁵ Horace Brown. Personal Interview with PRI Committee staff. July 2, 2007.

Figure III-1. Historical Timeline of Connecticut Long-Term Planning



Source: LPR&IC Analysis

In the 1960s, CDC launched the Connecticut Interregional Planning Program (CIPP). This was Connecticut's first comprehensive planning initiative, and its oversight committee included representatives from all the state agencies. CIPP published the first statewide long-term plan in 1966. The publication consisted of six separate reports entitled: *Goals for Connecticut; Transportation; The Green Land; The Economy; Urban Development; and Connecticut: Choices for Action*. The reports used data to project population growth and related needs, including education, housing, and land use. The final report, *Connecticut: Choices for Action*, argued that planning is necessary to ensure that growth not create "blights on landscapes". The report also expressed a desire to maintain Connecticut's rural character. Finally, the report urged the state to adopt an implementation mechanism to ensure that goals would be realized. However, such a mechanism never materialized.

The 1970s & 1980s

In 1967, the legislature created the State Planning Council (SPC). The council was chaired by the governor, and sought to coordinate planning across state agencies. The CDC and CIPP projects were merged into the SPC, and the council staff for the new division was called the Office of State Planning in the Department of Finance and Control. The SPC is an example of the state agency model, because the council was within the executive branch, and had little contact with legislators. The SPC and its staff in the Office of State Planning published the first Conservation and Development plan in the early 1970s.

The office was renamed the Planning Section of the Planning and Budgeting Division in 1971, and absorbed into the Department of Finance and Control. This was an effort by both the governor and the department commissioner to link planning and budgeting. Had it succeeded, it would have been Connecticut's first attempt at strategic planning. However, after an administration change in 1975, the Planning Section was moved to the Department of Planning and Energy Policy, and plans were never linked with budget considerations. The section was moved again in 1977 to the newly created Office of Policy Management. Over this time period, the planning section became increasingly focused on the provision of human services, to the detriment of economic planning. This was in part due to attrition of qualified economists from the department.²⁶

By the late 1970s, state government interest in long-term planning had declined precipitously. While state law still required periodic updates to the Conservation and Development plan, the lack of incentives for municipal and regional compliance was a detriment. The State Planning Council adopted a "show and tell" atmosphere without mandatory participation from agency leaders²⁷. Probably a more significant drawback was the elimination of the federal 701 grants, cutting off a major source of financial support for state planning activities.

In 1976, under the Ella Grasso Administration, a statutory Commission on Connecticut's Future was established, similar to groups created in 25 other states during the early to mid-1970s. Legislation in the late 1970s and early 1980s placed the commission within the Office of Policy and Management and expanded the membership from 7 to 11 members. The commission was required to

²⁶ Horace Brown, Personal Interview.

²⁷ Ibid.

engage in forecasting, suggest preferred futures for the state, and raise awareness and concern about the state's direction among Connecticut residents. The commission was also required to submit an annual report to the governor and the General Assembly. While the commission was reestablished under the Connecticut Sunset Law, it never was really active, and in 1989, the legislature eliminated the commission and transferred its duties to the Department of Economic and Community Development. The statutory function still exists, but DECD does not actively fulfill the requirements, according to DECD staff, partly due to lack of funding.

By the late 1980s, the popularity of long-term planning was waning. Legislative and executive commitment to long-term planning projects lacked enthusiasm and energy, allowing them to fall behind. As discussed in Chapter Two, the state agency model allows successive administrations to cut funding and reduce interest in long-term planning without formal opposition. This is precisely what occurred in Connecticut.

The 1990s to Present

The early 1990s briefly saw a renewed interest in long-term planning projects under Governor Weicker's administration. Following the lead of other states, particularly Oregon and Utah, Governor Weicker initiated the Connecticut Progress Council (CPC) in 1993. To emphasize the administration's commitment to the council, Weicker appointed Lieutenant Governor Eunice Groark to the council, and she was elected co-chair.

Legislative leaders were also strongly supportive of the project, passing legislation that established the council, and appointing legislators in powerful committee roles who also had a firm belief in state planning and performance measurement. The Progress Council was an example of a public-private joint commission, with six executive branch members, 10 legislative members, and 12 members from private entities or business (6 appointed by legislative leaders and 6 by the governor).

The CPC separated into five subcommittees by areas of concern: 1) family and community; 2) education; 3) health and environment; 4) media; and 5) the economy. Members were assigned to sub-committees based on subject matter, and each then developed a set of benchmarks for the area. By the time the statutorily mandated report was released in January 1995, there were over 300 benchmarks included. However, the report did not include an implementation plan or outline any overall strategies for achievement.

While the council is still referenced in statute, CPC did not survive the change in administration in 1995, and, although OPM was supposed to report biennially on state agencies' progress towards the benchmarks, little or no activity has occurred since. There may be several reasons for this including the low priority given to comprehensive planning and/or performance measurement as a state government responsibility, and perhaps the accompanying lack of resources at OPM allocated to perform those functions.

Interviews with some former council members, as well as council staff, indicate that the council was arguably "too political" and did not adequately solicit opinions from outside the government sector. There was also little or no communication across sub-committees, reflecting Connecticut's tendency to compartmentalize plans and policies. The sheer number of benchmarks

was also problematic. Further, former members of the council recall that measuring progress against the benchmarks was limited due to a lack of available data. However, the exercise did encourage state agencies to coordinate programs and goals around the five common areas of concern. Another positive aspect was that the council was staffed by both executive and legislative branch agencies.

The Weicker Administration also placed a strong emphasis on planning and performance measurement within the Office of Policy and Management. The agency was staffed by 227 full-time employees in 1993 (about double the 131 staff persons it had in FY 06). OPM included a division, headed by an undersecretary, devoted to management and performance measurement. The 1993 legislation establishing the Connecticut Progress Council also required all budgeted state agencies to develop goals, objectives, and measures to submit to OPM for its review. The OPM staff was statutorily required to measure progress against the council-established benchmarks, but as noted above, that has never been implemented.

Also in 1993, the legislature mandated the Connecticut Economic Conference Board,²⁸ along with DECD and the University of Connecticut, to create a Connecticut Competitiveness Index (P.A. 93-210). The index was supposed to monitor state policies that encouraged or discouraged economic development in Connecticut, and use a computer economic modeling system to arrive at scores. This was the first of Connecticut's many policy-oriented projects. However, while an index was published in 1994, the board and the index, both still referenced in statute, are essentially defunct. The stated reason is that funding was not provided to fulfill the mandated responsibilities.

The Rowland Administration did not place a similar emphasis on centralized planning or performance measurement. Instead it promoted a decentralized "business planning" approach, where agencies were to plan around their core "business" operations. The Department of Administrative Services (DAS), for example, was reorganized along "business centers", and created an agency motto "With us, you're in business." DAS continues to help agencies with planning, but with a decidedly business approach.

The most recent spate of single-issue, policy-oriented planning projects likely began with the release of the 1999 *Connecticut Strategic Economic Framework*, commonly known as the "Gallis Report." The report, commissioned by the Connecticut Regional Institute for the 21st Century, argued that Connecticut would suffer dire economic consequences if the state did not improve its modes of transportation.

The Gallis report led to the creation of the Transportation Strategy Board (TSB), which is required by law to examine public and mass transportation, and port and railroad usage, as alternatives to interstate maintenance and highway construction, which have always been the primary emphasis of the state Department of Transportation. The TSB has released two reports, the first in 2002 and the second in early 2007. Unfortunately, the TSB is not a state agency and has no mechanism to enforce implementation, leading critics to charge that the board has no teeth. It is also a compartmentalized plan, although it does consider other policy areas, such as housing, in its

²⁸ The Economic Conference Board was created in 1991 and initially its role was to perform economic forecasting. However, its membership and role changed significantly with P.A. 96-252, when it was required to submit an annual report to the governor, DECD and the General Assembly on the state of economic clusters in Connecticut and nationwide.

recommendations.

In 2005, the General Assembly passed legislation requiring the establishment of an *Innovation Network for Economic Development*. The DECD commissioner -- along with the chairpersons of Connecticut Innovations, Inc. (CII) and the Connecticut Development Authority (CDA), the president of the University of Connecticut (UConn), in consultation with the Governor's Competitiveness Council,²⁹ and other leaders in education, higher education and workforce development -- were to develop recommendations for an implementation plan and budget to establish such a network. The act also permitted the agencies to use up to \$10 million of their existing resources for plan implementation and to leverage private investment. The group did submit a framework for a plan containing six recommendations, and UConn and CII have allocated some funding, but no implementation plan was produced.

A renewed emphasis on the state's Conservation and Development Plan and the calls for "smart growth" prompted Governor Rell, in 2006, to issue Executive Order #15, which created the Office of Responsible Growth within the Office of Policy Management. The legislature issued its stamp of approval by codifying aspects of the order in the 2007 legislative session (P.A. 07-239). The act creates a Responsible Growth Task Force, which is required to "identify responsible growth criteria to help guide the state's future investment decisions, study land use laws, policies and programs." It also offers incentives to municipalities that conform to the Conservation and Development Plan, and withholds funding for those that do not.

Public Act 07-239 also requires DECD, in consultation with the heads of nine state or quasi-public agencies (and others if the DECD commissioner wishes) to prepare an economic strategic plan for the state. Another act passed by the legislature during the 2007 session (P.A. 07-3), created a Blue Ribbon Commission to develop and implement a strategic plan for higher education. These two legislatively required strategic plans will be discussed further in Chapter Four (see page 32).

All of these recent initiatives, while laudable, maintain the state's compartmentalized approach to planning, as discussed in the next chapter. These are policy-oriented, single-issue projects, not comprehensive state planning. While some of the laws require collaboration among involved agencies, and there is more emphasis on longer-term planning and measurement (P.A. 07-3), it is unclear how that coordination or implementation will occur.

²⁹ The Governor's Competitiveness Council, initially called the Governor's Council on Economic Competitiveness and Technology, is composed of chief executive officers from a cross-section of industries, legislative leaders, heads of higher educational institutions, representatives of labor and business associations and several state agency commissioners. The council monitors the progress of the state's industry cluster approach to economic development and seeks way to enhance it.

Chapter Four

How Do We Do It Now?

CONNECTICUT'S CURRENT PLANNING LANDSCAPE

State planning occurs in Connecticut, but it is not the comprehensive or broad strategic planning that sets long-term goals to navigate Connecticut state government toward a preferred future for all Connecticut residents. Instead, the list of dozens of plans contained in Appendix B illustrates the compartmentalized, duplicative, inefficient, and single-issue oriented nature of current state-level planning.

Committee staff reviewed state statutes as well as the websites of all state government and quasi public agencies to inventory current planning efforts in Connecticut. Staff found more than 50 plans are in existence,³⁰ and categorized these plans into 14 different areas, including environmental protection, information technology, education, public health, and human services.

In conducting this inventory, staff determined there are two major drivers of current planning efforts -- federal funding requirements or state legislative mandates. As the appendix indicates, there are 20 plans developed in order to receive federal funding, while about half (24) of the plans have been mandated by the state legislature over the years; the remainder may be required by executive order, or the requirement is unclear.

The federal requirements generally do not call for plans that are strategic in nature, but rather submissions from state agencies on how the program or grant funding will be spent. On the other hand, the statutory requirements for planning are put in place when the General Assembly identifies a planning gap or void, and passes legislation seeking a remedy through a mandated plan in a particular area. However, there is no comprehensive oversight of any of this planning causing duplication to exist, while in other areas, the statutory requirements for certain plans are essentially ignored.

This decentralized planning approach meets few of the desired goals set forth in Chapter One as to why a state should conduct long-term and strategic planning. Neither does it accomplish much of what is described in earlier chapters regarding some of the models and best practices. Rather, Connecticut continues a “silo” or individual agency approach to planning that fails to connect the dots, establish overarching goals that the plans would achieve, or put in place any framework to ensure implementation or measure progress.

³⁰ The list is probably not exhaustive - plans not mentioned in statute or not readily available on an agency's website are not captured. Staff also excluded documents such as the State Medicaid Plan, that are more like health insurance *plans* with selected coverage options, than guidance documents on policy.

State's Capacity for Planning

Organizational structure. The state's capacity for doing comprehensive planning has been declining. As Chapter Three indicated, there have been times when Connecticut placed a greater emphasis on centralized and comprehensive planning, either through a public-private partnership model, like the Connecticut Progress Council, or through the state agency model, like the Office of Policy and Management (OPM). However, that focus has weakened and in 2003, with the state budget crisis calling for reduction of the state government workforce through early retirements, layoffs, and bumping (transfers within a collective bargaining unit), comprehensive planning functions in OPM almost ceased.

The Policy Development and Planning Division (PDPD) within OPM is the designated lead area in state government for comprehensive state planning. The mission of the division states it performs such functions as:

- identify emerging needs and issues and develop strategic plans;
- provide inter-agency coordination and education of executive branch agencies;
- facilitate collaboration between the three branches of state government and between state and local government; and
- improve integration of planning and policy development into OPM's budget process.

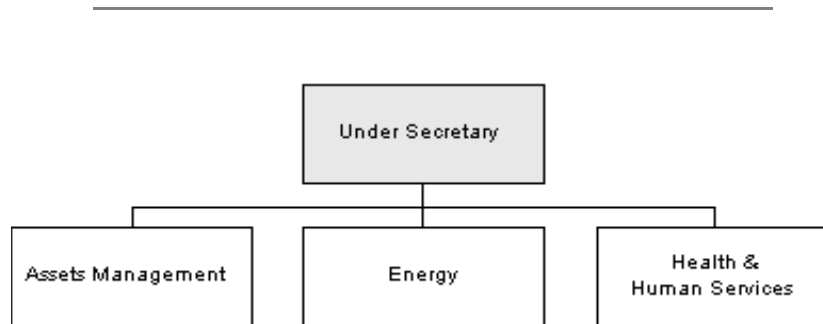
As discussed below, carrying out the responsibilities of the division is hampered by: a lack of staffing; a focus that is targeted to single policy areas; and a fragmentation of state planning responsibilities to other parts of the agency. The policy development and planning division has 21 staff, but this a substantial decline in positions from 1993, when OPM was more active in comprehensive planning. Further, the division recently reorganized into three distinct areas, as shown in Figure IV-1, but there is an emphasis on planning only for some state agencies rather than all state residents. For example, "asset management" is concerned with state facilities planning (e.g., state property management) while the energy section "provides general oversight regarding energy usage and management of energy costs in state [owned] facilities."

The Health and Human Services section plays an important role in planning in one area -- long-term care for the elderly and disabled -- and in January 2007 issued a new plan (updated and revised from the 2004 plan). The unit has other responsibilities as well as planning, such as administering the long-term care partnership that promotes the purchase of long-term care insurance, and managing and overseeing human service contracting.

In 2005, the General Assembly passed the Justice Planning Act (P.A. 05-249), which split the Policy and Planning Division and created a separate OPM division dedicated solely to criminal

justice planning, effective July 1, 2006. The division is required to conduct planning around criminal and juvenile justice issues, but it is also mandated to perform ongoing tracking and monthly reporting of the state's prison population. Although the legislation is aimed at strengthening planning around a single policy area, it further fragments efforts at comprehensive planning.

Figure IV-1. Policy and Planning Division Structure



Source: Office of Policy and Management

Emphasis on physical planning. While a detailed examination of the State Plan of Conservation and Development was specifically removed from this study scope,³¹ it is important to note that the C&D plan is, by law, the guiding document for land use and development in the state. It is supposed to steer decisions at the local, regional, and state levels. It receives more staffing emphasis than do other planning functions within the agency – four had been assigned, and two additional staff have been hired under the office of Responsible Growth order, but one of the existing staff was promoted outside the division, leaving five – but not as much as in the early to mid-1990s. Yet, despite its importance and the staffing allocated to it, the conservation and development plan is focused on how the state and its localities should make decisions on its *physical* resources, like land, the environment, its transportation networks, housing, and other real or tangible property.

However, there seems to be no similar emphasis for planning for *human* resources, like setting overarching goals for education, training the state's workforce for a global economy, improving the health status of Connecticut residents and the like. Without a guiding document for framing human capital decisions, there is an imbalance weighted toward the state's physical nature. Further, no link can be made as to how planning for both physical and human resources can set a path for the state's future.

Neither is there a convergence of all the specific policy planning -- to oversee all the disparate plans created in the various agencies to cull out what might be common among them, or to

³¹ As noted in the introduction, the program review committee also examined Connecticut's Regional Planning Organizations in a separate 2007 study, which took a closer look at the state's C&D plan.

assess whether they are directed toward the state's overarching goals. In fact, the statutory requirements, in place since 1993 -- requiring that agencies develop goals, objectives, and outcome measures and submit them to the OPM for review and to evaluate progress against benchmarks -- are essentially ignored.

In 1999, when OPM did a survey to determine the status of strategic planning and performance measurement in government in all 65 state budgeted agencies, it found that 30 agencies produced what the agencies characterize as a strategic plan. Upon closer examination, OPM found that only *five* agencies actually developed a plan that could be called strategic.

As discussed earlier, Executive Order #15 established a Responsible Growth Task Force in October 2006. To optimize the workings of the task force, attempts are being made to "coordinate policy development and capital planning in an effort to utilize state expertise and financial resources" through an Interagency Steering Council. The council has established two work groups -- 1) a policy workgroup comprising deputy commissioners responsible for developing responsible growth policies, standards and criteria; and 2) a project review workgroup comprising planning staff from the agencies to develop a streamlined process to review projects to ensure they meet responsible growth standards. However, given the agencies represented, and the statement in the executive order, the focus will still be limited to coordination of physical planning. Further, the mandates required of the task force suggest that its members may have trouble fulfilling their duties, given it has a staff of four assigned to the new Office of Responsible Growth in OPM.

Preparedness planning. Also, disaster planning of all types has drawn great attention since September 11, 2001. As Appendix C shows, a number of the positions are devoted to homeland security, police and other emergency services planning. One such recent nationwide effort was spearheaded by the White House and labeled the *national strategy for pandemic flu*, which called for federal, state and local government to develop preparedness plans in the case of a pandemic flu outbreak. Funded by grants to states from the federal Health and Human Service Department -- Connecticut received about \$4 million -- the strategy expects all states to plan for continuity of state and local government operations in case of a pandemic flu. While the Connecticut departments of Homeland Security, Agriculture, Environmental Protection and Public Health had lead roles in this effort, the intensity of the project required all state agencies to be involved.

Lack of planning staff. Currently, there are 23 different job classifications in which people perform primarily a planning function within state government; however, only 12 of those classes have persons in them. (See Appendix C) Thus, of the thousands of state government employees in state classified service, fewer than 100 people are predominantly planners. And while many of the staff are in the Office of Policy and Management (21 of the 82 positions), as the list in Appendix D indicates, many others are in agencies that emphasize physical or project planning such as occurs in the Department of Transportation.

Lack of centralized data. Another problem hampering comprehensive long-range planning in Connecticut is that generally there is no one place where data are collected and analyzed that could be used in long-term planning, or in monitoring progress to achieving established state goals.

One example where Connecticut has ignored centralized data responsibilities is with its state data center. Data centers located in each state serve as the repository and conduit for demographic

and economic information and maps from the U.S. Census Bureau. Each state's center also acts as a clearinghouse for other state and local government information so that users – other state agencies and local government, as well as non-governmental agencies and businesses – can access the data, or request technical assistance in using the data, at little or no charge.

However, for the 10 years between 1996 and 2006 Connecticut had no active state data center; the only state in the nation with an inactive center according to information from the U.S. Census Bureau. The data center had been located in the Office of Policy and Management until about 1996, but due to a lack of staffing, it was dormant until last year. Beginning in 2006, under a cooperative arrangement, the center, while technically under the Office of Policy and Management, is housed at the University of Connecticut in the Center for Economic Analysis (CCEA). About \$75,000 from OPM's budget was committed for FY 07 and \$120,000 for FY 08 to fund staff and operations of the state data center.

Earlier this year, the data center released statewide and town-by-town population projections for the first time in 12 years. The current projections indicate far less robust population growth than the 1995 estimates, and even predict a shrinking population, unless there is a continued influx of foreign-born immigrants to the state.³²

Without basic population and demographic analysis being conducted on an ongoing basis (rather than every 12 years), Connecticut decision-makers are lacking crucial information about what long-term policies should be developed to either: a) accommodate the changing demographics; or b) create an environment where the state can influence the demographics (i.e., the preferred future).

Another example of a data collection gap is that Connecticut has no centralized repository for data that are being collected by the various state agencies implementing different programs and serving different populations. In 2003, Core-CT was launched to streamline and improve the coordination, efficiency, and effectiveness of the state's financial accounting, human resources, and performance measurement systems. The implementation of the system was not smooth, due somewhat to early retirements of key staffers, and delays and cost overruns ensued.

The financial and personnel administration segments of the system have been implemented. According to a final system assessment conducted by Gartner, Inc., in February 2007, "common business solutions and practices now exist across central agencies". But the same report states "management reporting has not been a strategic focus [and] central and line agencies are not effectively able to access and analyze the data that exists within Core-CT." Also, discussions with key staff at OPM, and a review of the Core-CT elements indicate that state agencies are not using the Core-CT system to capture key program measures or outcomes to create a framework for a statewide performance measurement system.

Further, even if the agencies were using the Core-CT to report on program measures, there still is no one entity responsible for analyzing the measures, and determining whether they meet the

³² Connecticut State Data Center News Release, May 16, 2007. The center's estimates to the year 2030 indicate that Connecticut's population will grow by only 207,470 residents (to 3.7 million) in the next 25 years – an annual growth rate of 0.27 percent, or less than one-third the national annual growth rate of 0.85 percent. This is significantly less than the 3.74 million population estimated for 2025 in the 1995 projections.

state's overarching goals. In the absence of setting any goals or long-term plans for the state, which might also guide the state's spending policies, Connecticut continues to use the budget as the sole overall planning document, and review the budget and increases agency by agency. There is no link, analysis, or evaluation of how each agency's spending is tied to overall state policy or how well each agency is performing in reaching any statewide goals.

Legislative Efforts

As discussed earlier, much of the planning that is currently done in Connecticut is in response to state legislative mandates. When the legislature identifies a gap in a planning area, it often passes legislation requiring that a planning process or document be developed to address that gap. The most recent significant legislative actions occurred during this past session. Public Act 07-239 expands, and codifies in statute, the responsible growth initiatives in the governor's Executive Order #15. In addition, it requires the Department of Economic and Community Development, in consultation with the heads of nine state or quasi-public agencies (and others if the DECD commissioner wishes) to prepare an economic strategic plan for the state. There was no additional funding appropriated to DECD to develop the economic strategic plan required, although the department is currently hiring a consultant through a request for proposal (RFP) process to assist with this effort. As part of the strategic plan development, the department began to hold regional forums in late calendar year 2007 to obtain public input on what the economic development goals of each region should be.

During the 2007 legislative session, the General Assembly also created a blue ribbon commission to develop and implement a strategic plan for higher education (P.A. 07-3). The act calls for a commission of 16 voting members – 12 appointed by legislative leaders and four appointed by the governor – with specified backgrounds and experience, and a number of heads of state agencies to serve as ex-officio members. The act requires that, by October 1, 2008, the strategic plan be submitted, which shall include specific goals and benchmarks for 2010, 2015, and 2020. The Department of Higher Education indicates that as of early December 2007, the appointments have been made to the commission, but an RFP is being developed to hire a consultant to assist with this effort as well. The commission terminates in 2021.

Results-based Accountability. While not planning *per se*, the legislature over the past two years has begun implementing a pilot program that attempts to link performance and results with the state budget process. This effort, still in a relatively early stage, is being overseen by a Results-based Accountability (RBA) subcommittee of the legislature's Appropriations Committee, and has targeted two specific areas – early childhood education, and selected programs in the Department of Environmental Protection – to begin work. The key elements of the results-based accountability movement are to evaluate outcomes using three simple categories:

How much did we (i.e., program, agency, etc.) do?

How well did we do it? and

Is anyone better off?

Under RBA, data collection and analysis should be kept to a minimum and be linked to the three key questions above. The two pilot areas have gone through a couple of reporting cycles, and the subcommittee is seeking to reduce the amount of RBA materials produced in order to evaluate the questions. The subcommittee is also considering which new areas might be examined using the RBA methods over the next two legislative sessions

All of these recent initiatives, while laudable, maintain the state's compartmentalized approach to planning, as discussed later. These are policy-oriented, single-issue projects, not comprehensive state planning. While some of the laws require collaboration among involved agencies, and there is more emphasis on longer-term planning and measurement (e.g., P.A. 07-3), it is unclear how that coordination or implementation will occur.

Survey Results

The deficiencies of state-level planning are well-recognized at the local level. In a survey committee staff sent to chief elected officials in all 169 Connecticut towns, the officials were asked several questions regarding state planning. Staff received responses from 100 towns – although not all 100 answered every question -- and some of the results are presented in the table below.

Table IV-1. Responses to Survey to Local Chief Elected Officials on State Planning Efforts				
<i>Statement Regarding State Planning</i>	<i>Agree/Strongly Agree</i>		<i>Disagree/Strongly Disagree</i>	
	#	%	#	%
State of Connecticut has established a clear vision for its future. (N=89)	33	37%	56	63%
Comprehensive long-term planning occurs in one department at the state level. (N=76)	22	29%	54	71%
Different state agencies do not always agree in their goals and objectives (N=84)	82	98%	2	2%
The state should provide guidance to municipalities in local planning (N=85)	61	72%	24	28%
The state does not consider local input in its long-term planning process (N=86)	77	90%	9	10%
The state should develop a comprehensive planning process to prioritize funding (N=85)	82	96%	3	4%

In addition to the specific deficiencies cited in the table, the survey results demonstrate that local officials have an overall negative perception of state planning. Of the 78 officials who responded to the question about whether the state's current long-term planning efforts are adequate,

only 18 (23%) answered that they are, while 60 (77%) indicated the state's efforts were inadequate. Some of the comments on why the efforts were inadequate included:

- Does not articulate a clear vision – needs to be tied into other things such as transportation planning, economic development, and open space acquisition
- No defined goals, no action points
- Lots of studies done but no implementation – no long term budgeting; everything is year-to-year, and no one looks at the long-term
- State should consistently conduct multi-year planning activities based on a clear vision, mission, values and goals in the operating and capital budgets. Budget by outcome, and results-based accountability techniques should be used
- Planning is not well coordinated with local municipalities – long-term planning must be coordinated with funding and municipal needs.

Taken in combination with the responses shown in the table, it is clear local officials are unsatisfied with the state's planning efforts and the guidance such planning provides to Connecticut towns.

What's Wrong With the Way We Do It?

FINDINGS

In answer to this question, the committee concluded -- based on the findings laid out in the previous chapters -- that the current state planning landscape is deficient because it:

- has not been a priority of the executive branch for more than a decade;
- features a compartmentalized, fragmented approach;
- emphasizes decentralized single-policy area planning;
- has no clear vision for where the state wishes to be in 20 years (or some long-term period) or how it intends to get there;
- focuses more attention on physical-type planning for land use etc., than on human resource planning;
- appears ill-equipped in terms of organization structure and centralized staffing capacity to coordinate or conduct comprehensive planning;
- is episodic in that laws are passed periodically that create commissions or task forces to develop plans, but implementation and oversight functions are not clear; and
- is recognized as inadequate by many Connecticut towns.

Best Practices

Why and how should we do it better? The scope of study called for the review to propose how successful planning should be done. Thus, it is not sufficient to identify where Connecticut's planning efforts fall short, but the study also must determine how the state could do it better. Program review staff reviewed the literature, spoke with experts both in Connecticut and from other states, and developed a list of best practices or key indicators that help promote successful comprehensive planning. These were presented in Chapter Two in Table II-2.

Some of the practices listed in the table involve tangibles, such as having trained and skilled staff to carry out the functions, while other elements – such as committed leadership and an enthusiastic “champion” – are much more intangible.

How Can We Do it Better?

RECOMMENDATIONS

Many of the best practices contained in Table II-2 were discussed at the forum on models for conducting state planning that the committee sponsored on November 8, 2007.³³ The committee used the best practices list and information provided at the forum to develop the following recommendations. It is important to keep in mind *that this is a development of an ongoing process, rather than a creation of a body only to produce a document and go away*. Thus, it is crucial to bear in mind it will take time for this process to take hold -- to change the “business as usual” or “ignore it and it will go away” attitude that is often a self-fulfilling prophecy in government – and for those involved to see the value in doing it. Only when that happens will the process be sustainable.

What will it take to do it better and is it worth it? The key aspects to the recommendations that address the first part of the question include:

- Creating a public/private oversight body with legislative and executive branch representation
- Locating the staff and functions in the executive branch
- Describing the key functions of the oversight body and the staff
- Linking these efforts to current initiatives already underway
- Requiring accountability and transparency of the process, progress, and results

The second part of the question is addressed in the rationale for each part of the recommendation. The initial test in determining whether *it is worth it* will be if policymakers believe in its value and adopt the proposal and dedicate the resources to ensure its implementation.

Creation of an Oversight Body

There shall be a Council on Connecticut’s Future created by October 1, 2008. The council shall be composed of 18 members:

- **three from the executive branch including the lieutenant governor, who shall be chairman, the Secretary of the Office of Policy and Management, and one agency commissioner appointed by the governor;**

³³ Materials from the November 8, 2007, forum on Models for Conducting State Planning are available on the program review staff website: www.cga.ct.gov/pri/stateplanningforumagenda.html

- six legislative leaders – the speaker of the house; the president pro tempore of the senate; the majority leaders of the house and the senate and the minority leaders of the house and the senate; and
- nine public members – three appointed by the governor and six appointed by the legislative leaders, one by each of the six leaders—who shall serve four-year terms.

The council should meet monthly. Vacancies shall be filled in the same manner as the original appointments, and a majority of the council shall constitute a quorum.

Rationale. It is important that both the executive and legislative branches have representation on the oversight council. The public members should come from the private sector and represent a wide spectrum of Connecticut citizenry. It is vital that the governor’s office promote the importance of this effort or state agencies will not place value on the efforts. The program review committee believes that having the lieutenant governor serve as chair is a symbolic recognition of that value as well as a clear link to the state’s chief executive. The committee believes that the council should be perceived as having “teeth” and therefore thinks it is crucial that the executive and legislative leaders themselves, and not designees, attend the meetings.

Major Council Duties

The council shall be responsible for developing a planning process for setting a direction for the future of Connecticut. That process shall include some or all of the following sequential steps: 1) developing a long-term vision; 2) conducting a situational analysis of Connecticut and core state services (e.g., analyzing strengths, weakness, opportunities and threats); 3) establishing a limited number of overarching goals for Connecticut in the first year of operation and expanding the goals in a timeline established by the council; 4) setting long-term objectives for state services and aligning state services to the long-term objectives; 5) instituting a planning and performance measurement system consisting of strategic planning, performance measurement, and evaluation of progress toward goals; 6) establishing plan adjustments as needed; and 7) reporting annually to the legislature and the governor on progress toward goals.

Explanation and rationale. The committee does not include definitions as part of the recommendation. The council may wish to establish its own working definitions. However, by way of guidance, the council may wish to use Virginia’s definitions for Connecticut:

Vision—means an aspirational expression of a future condition for Connecticut that is both essential and desirable and extends at least 10 years into the future;

Strategic planning- means the systematic clarification and documentation of what a state agency wishes to achieve and how to achieve it. The objective of strategic planning is a set of goals, action steps, and measurements constructed to guide performance. These agency strategic plans should be linked, by the council and its staff, to the overarching statewide goals; and

Strategic performance measurement – means the use of data to review the current performance, improvement in productivity, and progress against the long-term objectives.

The council should be given an opportunity to establish its own process, rather than have one dictated in statute, but guidance is provided through the sequential steps and process followed in Virginia and Washington, which are contained in Appendix D.

It is important that the council start with a manageable approach and timetable. If it establishes too many goals and demands too much in the way of reporting, data collection, and measuring in the beginning, the efforts are likely to falter, as was the case with the Connecticut Progress Council in the mid-1990s. The committee believes the recommended council should decide what a manageable number of goals is and which areas the state should begin with, but would suggest the areas of major policy concern might be: 1) Education/Higher Education; 2) Health and Social Services; 3) Economic Development; 4) Environment; 5) Transportation; and 6) Public Safety. In the beginning, perhaps one or two goals in each of those areas, with defining progress measures, would be appropriate.

The program review committee also believes that the council need not produce some hefty document or written plan. Again, it is more important that this be recognized as a *process* that will change the culture and accountability of government, rather than be seen as the delivery of a product as an end in itself. The council must be perceived as being important enough to effect this change: otherwise it will be just another “think tank” issuing white papers but affecting little in the way of policy or results.

It is equally important that the council not “reinvent the wheel”. It should ensure that information and planning already being done in state policy areas -- like the Economic Development Strategic Plan (P.A. 07-239) and the Higher Education Strategic Plan (P.A. 07-3) -- are used in the council’s vision and goal-setting. Both of these plans are required to seek public participation, and regional forums for the Economic Development Strategic Plan are already underway. Thus, the council could use the public input from those as background for its vision and goal-setting rather than establishing another round of time-consuming and costly forums around the state. It could also establish a comment and public input segment on its website as its ongoing link to the citizenry.

Similarly, the council should link its work in measuring progress toward statewide goals to legislative efforts that assess state budget and policy areas using the Results-based Accountability approach. Neither the council’s efforts or RBA will further the state’s interests in improving government accountability and setting the state on a clear future direction, if the initiatives are not connected.

There are many sources of technical assistance the council could seek out as it develops its process. The Council of State Governments is beginning an initiative called *State Governance Transformation* that offers guidance to public sector policymakers and managers in how to enhance government in several categories. The categories include much of the council’s agenda: long-term and strategic planning; results-focused budgeting and management; and inter-agency collaboration, cooperation, and cost efficiency.

The council and staff might consult other organizations -- such as the National Governors Association, Governing (e.g., the Governing Performance Project and Governing.com) and the Governmental Accounting Standards Board – for assistance in specific areas of conducting performance measurement and benchmarking. All of these entities have ongoing initiatives and expertise in those fields.

Location, Structure, and Staffing

The Policy Development and Planning Division of the Office of Policy and Management shall provide staff assistance to the council. Additional assistance as needed, and upon request from the council, shall be provided by the Legislative Program Review and Investigations Committee, the Auditors of Public Accounts, the Office of Fiscal Analysis, and the Office of Legislative Research.

To ensure there is adequate staffing to the council, five analyst positions shall be added to the current Policy Development and Planning Division within the Office of Policy and Management. The analysts shall report to the undersecretary of that division, and the undersecretary shall be responsible for the day-to-day activities of the analysts and for their overall performance of council-related duties.

Three of the analysts shall be knowledgeable in a broad array of state policy areas including health care, the environment, education, and social services, as well as have experience and training in goal-setting, strategic planning, and performance measurement. These three analysts shall have primary responsibility for assisting the council in:

- **developing a vision for the state;**
- **establishing broad goals in a select number of areas, requiring agency strategic plans around those goals and creating a phased-in schedule to include additional goals in the future;**
- **developing a timetable for the council in terms of its ongoing duties;**
- **assisting state agencies, on a phased-in schedule, with the development of strategic plans that help achieve one or more of the overarching goals, and identify manageable and realistic measures to evaluate progress;**
- **coordinating data collection among state agencies needed to measure the goals, and interpret and summarize the agencies' performance information to the council;**
- **assisting the council in tracking results, and identifying opportunities to report on progress and other methods of ensuring the process is transparent and accountable at every phase;**
- **developing and implementing broad-based, long-term demographic, economic and critical financial trends that affect public policy;**
- **working collaboratively with other initiatives underway in Connecticut to improve strategic planning and government performance (e.g., P.A. 07-239, P.A. 07-3, and Results-based Accountability); and**
- **researching, identifying and keeping current with best practices in state management, performance measurement, and accountability.**

Two other analysts shall have knowledge in quantitative analysis, and computer hardware and software applications. These analysts would merge, analyze, and report on large databases to determine results, and would also be responsible for:

- development of a council website that provides information to the public on overall progress toward state goals in a user-friendly and informative way; and
- development of similar computer-based progress reporting for state agencies' strategic planning and progress measures (as each state agency is required on a phase-in schedule to develop strategic plans and develop and report on measures, with the assistance of the planning and policy-oriented analysts.)

The council shall work with the Connecticut State Data Center at the University of Connecticut. The State Data Center, operating under a memorandum of agreement with the Office of Policy and Management, currently maintains all Connecticut data issued by the U.S. Census Bureau, and performs all population projections for the state. The memorandum of agreement shall be modified so that broad-based data analysis on this demographic information would be provided, as the council requests. The State Data Center shall also assist the council with its other broad data needs, such as merging data collected by a variety of state agencies using different systems and databases and analyzing and reporting on the information so that it can be used by the council and staff in measuring progress toward the state goals and improving state government accountability.

Rationale

Cost. The program review committee estimates the costs for the council's operations to be approximately \$1 million annually. The cost breakdown is contained in Table V-1. Committee staff arrived at these cost estimates through a review of job descriptions and salary levels for staff of both Virginia and Washington initiatives, and the costs of the computerized system in Virginia. If the effort to establish a planning and government accountability effort is to succeed it is necessary to furnish the appropriate level of resources. Without the tangibles of staff and equipment, it is certain the intangibles of changing a culture and placing value on the process will not develop.

Table V-1. Cost Estimates for Council Operations	
Five staff hired at the mid-range of lead planning analyst level (\$83,461)	\$417,000
Fringe benefit costs (60.24% of salary) – based on Office of State Comptroller and OFA information	\$250,200
Development costs for web-based reporting system (one-time costs)	\$200,000
Duties and functions to be performed through MOU at State Data Center	\$200,000
Total	\$1,067,200
Source for fringe benefit data: Office of State Comptroller and Office of Fiscal Analysis	

The program review committee believes that the council should be provided with adequate resources, as proposed in the recommendation. However, the council and its staff should seek every opportunity to work with existing entities, like the state data center, to perform its functions in an efficient, cost-effective manner that avoids duplication. The council should be seen as a leader in making government work effectively and assuring accountability.

Transparency and Accountability

One of the most important steps to a successful state long-term planning effort is to ensure that the process is public, and has value and meaning in developing policy and ensuring accountability. As much as possible, each of the sequential steps should be “transparent”. In addition to the website reporting, the program review committee recommends that:

- **The schedule of all council meetings should be posted on the council’s website and, as much as possible, the meeting location be at the Legislative Office Building so that the meetings be televised on Connecticut Network (CT-N).**
- **One council meeting each quarter shall be devoted to measuring and reporting on progress toward one of the overarching state goals. All state agency commissioners responsible for strategic plans and objectives connected to that goal or outcome shall be required to attend and report on progress in achieving the goal, or what obstacles are preventing better, faster progress.**

Rationale. The meetings with commissioners to report publicly and to each other on progress toward goals is a strategy used by the Government Management Accountability and Performance (GMAP) project in Washington state, although there the governor is actively involved in the meetings. If this proposal is implemented, it will help to advance the overall best practices of:

- being relevant and usable;
- being accessible; and
- ensuring and promoting good governance, modern management practices, and innovation and reform.

APPENDICES

APPENDIX A: Government Performance Project: Evaluation of States' Planning/Information					
State	Grade	Strategic Plan/Comment	State	Grade	Strategic Plan/Comment
Alabama	C	No	Montana	C	No (planning is a weakness)
Alaska	C	Yes	Nebraska	C+	No
Arizona	B-	No	Nevada	B-	No
Arkansas	C+	No (not in 2005 but in future)	New Hampshire	C-	No
California	C	No (poor performance in planning)	New Jersey	C	No
Colorado	C+	No	New Mexico	B	Yes (at least groundwork in place in 2004)
Connecticut	C-	No	New York	C+	No
Delaware	B	Yes – excels in strategic planning	North Carolina	C+	Yes (impressive outcome-related goals)
Florida	B	Yes (but focus is in economic factors)	North Dakota	C	No
Georgia	B	Yes (but focus is limited)	Ohio	C+	No (but a performance measurement system is being launched)
Hawaii	D	No (weakness in planning)	Oklahoma	C	No (some agencies do strategic planning)
Idaho	C+	No	Oregon	B	Yes (state has history of planning for future)
Illinois	C+	No (planning process in place, but no strategic plan exists)	Pennsylvania	B	Yes
Indiana	C	No	Rhode Island	C+	Yes
Iowa	B	Yes (excels in planning area)	South Carolina	B	No (but has a performance-based budgeting system that includes statewide goals)
Kansas	B	Yes (Governor produces strategic direction)	South Dakota	D	No
Kentucky	B	Yes (Leader in strategic planning)	Tennessee	C+	No
Louisiana	A-	Yes	Texas	B	Yes
Maine	C+	No	Utah	A-	Yes (a national leader in planning)
Maryland	C+	No	Vermont	B-	Yes (lacks formal process but is occurring)
Massachusetts	C+	No	Virginia	A-	Yes (national leader in strategic planning)
Michigan	B+	Yes (Statewide plan - 6 goals)	Washington	A-	Yes (outstanding job)
Minnesota	B+	Yes (Planning is a strength)	West Virginia	C+	No (planning is a weakness)
Mississippi	C+	No	Wisconsin	B-	No
Missouri	A-	Yes (national leader in strategic planning)	Wyoming	C	No (but progress is being made in planning area)
Sources: Grades are directly from <i>Governing Performance Project, Grading the States 2005</i> . Determination about whether the state has a strategic plan or not, as well as comments, are based on committee staff review of the GPP evaluation of each state.					

Appendix B. Plans Currently Developed by Connecticut State Agencies					
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Education	Early Childhood Education Strategic Plan	Executive Order	Early Childhood Education Cabinet (assistance from Governor-appointed Early Childhood Research and Policy Council)	Due July 2006	Not Completed
Education	Comprehensive State Education Plan	State Law – C.G.S. Sec.10-4 (c)	State Board of Education	5-year 2006-2011	
Education	Literacy State Plan	Federal Law—Workforce Investment Act	State Department of Education	Rolling Plan – Annual Revisions	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Environmental Protection	CT Solid Waste Management Plan	State Law – C.G.S. Sec-22a—228	Department of Environmental Protection	20 year plan – updated every 5 years	
Environmental Protection	Green Plan	State Law	Department of Environmental Protection	5-year plan 2001-2006	Being updated
Environmental Protection	Statewide Outdoor Recreation Plan	Federal Law –1965 Land and Water Conservation Fund Act	Department of Environmental Protection	5-year plan 2005-2010	
Environmental Protection	Statewide Forest Resource Plan	Federal Law	Combination of entities along with an Advisory Group	10-year plan – 2004-2013	
Environmental Protection	Environmental Quality Branch (DEP) Strategic Plan (and Compliance Assurance Strategy)	Undetermined	Department of Environmental Protection	5-year plan – 2002-2007	
Environmental Protection	Quality Management Plan	Federal Law	DEP submitted to EPA	5 year 2002-2007	
Environmental Protection	Performance Partnership Agreement	Federal requirement	DEP submitted to EPA	2 years --FFYs 06 and 07	Serves as the major planning document/ agreement for major EPA funding
Environmental Protection	Recreational Trails Plan	Undetermined	Department of Environmental Protection		
Environmental Protection	CT. Wildlife Conservation Strategy	Undetermined	Department of Environmental Protection		
Environmental Protection	Long-term Solutions (plan) for Cleaning Up Brownfields	State Law P.A. 06-184	Task Force on Brownfield Strategies	February 2007	

Environmental Protection	Annual report on Status of Connecticut's Environment	State statutes, Sec. 22a-11 - 22a-13	Council on Environmental Quality	Annual 2006 –report issued June 2007	Progress report towards state environmental goals
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Land Use/development	State Conservation and Development Plan	State statutes, Sec. 16a-24-16a-33	Office of Policy and Management	Five-year Plan 2005-2010	
Land Use/development	Coastal Area Management Plan	State statutes Sec. 22a-90 to Sec 22a-112	Department of Environmental Protection	Updated 2000	Ongoing guidance document for development along CT coastline
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Energy	CT Climate Change Action Plan	State Law – P.A. 04-252	Department of Environmental Protection and Steering Committee	15 years – 2005-2020	Started from New England Governors and Eastern Canadian Premiers compact
Energy	2007 Energy Plan	State Law P.A. 03-140	Ct. Energy Advisory Board	Annual	
Energy	CT Clean Energy Strategic Focus	State Law P.A. 98-28	Connecticut Innovations Inc with Clean Energy Advisory Board	3-years 2004-2007	Beginning process for update
Energy	Clean Energy State Alliance Plan	Federal US Fish and Wildlife requirement for funding	Department of Environmental Protection	Annual	Made up of states with Clean Energy Funds
Energy	Clean Energy Vision for Connecticut	No requirement	Governor Rell issued	September 2006	Sets long-term goals for 2020
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Children/Families	Social Health Index Report	State Statutes Sec. 46a -131a	Commission on Children (Legislative commission)	Annual (but last one issued in early 2006)	Not really a plan but report on many social indicators and whether improving or declining
Children/Families	“Positive Outcome for Children” Plan	State Statutes Sec. 17-3 (b)	Department of Children and Families	Five-year plan required	Issued in 2003 – not clear if this meets statutory requirements
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Public Health	Healthy Connecticut 2000	Funding/Framework from federal Dept. of Health and Human Services	Department of Public Health	5 years 2005-2010	Assessment of Progress of Goals in 2000, new goals for 2010

Public Health	Genomics Action Plan		Department of Public Health/Task Force	5 years -2005-2010	
Public Health	Ct Environmental Health Tracking Plan	Funding/Framework from Federal CDC	DPH/DEP with a Health Tracking Consortium	2005	
Public Health	Adolescent Health Strategic Plan	Funding/Framework from Federal CDC	DPH -- with Adolescent Health Planning Committee		
Public Health	CT. Comprehensive Cancer Control Plan	Federal Funding requirement from Centers for Disease Control and Prevention	Connecticut Cancer Partnership (with grant through DPH)	2005-2008	Collaborative public/private effort
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Transportation	Highway Safety Plan	Federal Laws Funding	Department of Transportation	2 years	
Transportation	Long-range Transportation Plan	Federal law and Regulations	Department of Transportation	25 years 2004-2030	
Transportation	Master Transportation Plan	State Law -- C.G.S., Sec. 13b-15	Department of Transportation	2 years 2005-2007	
Transportation	CT's Transportation Strategy		Transportation Strategy Board		More recommendations than planning document
Transportation	CT. Statewide Airport Transportation System Plan	FAA – National Plan for Integrated Airport Systems	DOT	2006 20 years	
Transportation	Bradley International Airport Master Plan	FAA	DOT with approval of Bradley Board of Directors		
Transportation	Bradley strategic plan	None	Bradley Board of Directors	Annual	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Human Services	Strategic Employment Plan (for people with disabilities)	Medicaid Infrastructure Grant requirement (federal CMS)	Department of Social Services (lead) other human services agencies	2006	
Human Services	Long-term Care Plan	State statutes	Advisory Committee on Long-term Care, OPM, State Aging Commission		
Human Services	Child Poverty and Prevention Plan	State statutes	Child Poverty and Prevention Council	2005 - 2015	Progress Report issued Jan 2007
Human Services	Rehabilitation and vocational services state plan	Federal funding requirement	Bureau of Rehabilitation services	Annual	
Human Services	Comprehensive mental health plan	Federal state initiative funding grant	Collaborative effort of 15 state agencies	2006	

Human Services	Department of Mental Retardation Five-Year Plan	State Statutes	DMR	2007-2012	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Disaster/ Emergency/HS	Fire-Rescue Disaster Plan	Undetermined	Connecticut Fire Service	Issued 2002	
Disaster/ Emergency/HS	Mass Decontamination Mobilization Plan	Undetermined	DEP	Issued 2004	
Disaster/ Emergency/HS	Public Health Preparedness Plan	State law -- P.A. 03-236	Department of Public Health, Public Health Preparedness Advisory Committee	Not clear	More a disaster plan than a guiding document
Disaster/ Emergency/HS	Statewide Pandemic Flu Response Plan	Federal initiative with funding	State DEMHS, Agriculture, DEP, and DPH (other state agencies also involved)	2006	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Economic Development	CT Innovations Inc. Strategic Plan	State statutes Sec. 32-39 requires goals and strategies	Ct Innovations Inc (quasi-public)	2004-2007	Beginning the process for a new plan
Economic Development	Partnership for Growth II	Had been a statutory requirement re: industry clusters	DECD	2004 (5 years)	Replaced Partnership for Growth I – 1998-2003
Economic Development	Fuel Cell Economic Development Plan	State Law P.A. 06-187	DECD	2007	Final plan to be Issued in January 2008
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Criminal Justice/ Public Safety /Correction	Dept. of Correction Strategic Initiatives	Not required	Dept. of Corrections	July 2005	
Criminal Justice/ Public Safety /Correction	Comprehensive plan for the CT Criminal Justice System	P.A. 05-249 various requirements	Office of Policy and Management – Criminal Justice Policy and Planning Division	Inaugural Plan -- Jan 2007	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Information Technology	Dept. of Information Technology (DoIT) Strategic Plan	State Statutes Sec. 4d-7	DoIT	Update yearly	Must be submitted to OPM for review; then to General Assembly

Information Technology	Long-range Educational Technology Plan	State Statutes Secs. 4d-80 to 4d-85	Commission on Education Technology	2001 - initial	Update required every year (2005 last one), except teacher competency part (2 years)
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Culture/Arts	State Library Five-Year Plan	Federal requirement for funding under Library Services and Technology Act	Division of Library Development and Advisory Committee for Library Planning	5 years 2008-2012	
Culture/Arts	Strategic Plan for Culture and Tourism	State statutes Sec. 10-392	CT. Commission on Culture and Tourism	3 years 2005-2008	
Planning Area	Plan	Requirement	Responsible Entity	Plan Term	Comments
Labor/Workforce Development	State of Connecticut Strategic Workforce Investment Plan	Federal requirement to receive funds under Workforce Investment Act and Wagner-Peyser	Office of Workforce Competitiveness, Statewide Workforce Investment Board and Connecticut Employment Training Council	2-years 2007-2009	
Labor/Workforce Development	Vocational Rehabilitation Plan	Federal requirement to receive vocational rehabilitation services funding	Bureau of Rehabilitation Services (DSS)	Annual	
Labor/Workforce Development	Strategic Plan for the Statewide (State Employee) Workforce	Undetermined	Department of Administrative Services	2001	
Source: LPR&IC Staff Review of State Statutes and State Agency Websites					

APPENDIX C. State Planning Positions: Class and Agency

Job Title	Agency	# In Title
Lead Planning Analyst	Department of Labor	1
Lead Planning Analyst	Public Health	5
Lead Planning Analyst	Department of Social Services	11
Lead Planning Analyst	Office of Policy and Management	5
Lead Planning Analyst Total		22
Planning Specialist	Dept of Children and Family	2
Planning Specialist	DEP Commissioner's Office	1
Planning Specialist	DMR North Region	3
Planning Specialist	Department of Motor Vehicles	1
Planning Specialist	Public Health	3
Planning Specialist	Police Services	3
Planning Specialist	Fire, Emergency/Building Services	1
Planning Specialist	Dept of Public Works	1
Planning Specialist	Dept of Revenue Services	2
Planning Specialist	Department of Social Services	3
Planning Specialist	Economic and Community Dev	1
Planning Specialist	Office of Health Care Access	1
Planning Specialist	DMHAS Office of the Commissioner	2
Planning Specialist	Office of Policy and Management	15
Planning Specialist Total		39
Job Title	Agency	# In Title
Director of Health and Human Services Planning	Off of Policy and Management	1
DMHAS Director Of Planning	DMHAS Office of the Commissioner	1
Manager of Research & Planning	Office of Health Care Access	1
DEMHS Strategic Planning Manager	Emergency Management & Homeland Security	1
Director of Planning	Department Veterans Affairs	1
Planning Administration/Management Positions Total		5
Transportation Maintenance Planning Manager	Bureau of Highways (DOT)	4
Transportation Assistant Planning Director	Bureau of Planning/Research (DOT)	5
Transportation Chief of Planning	Bureau of Planning/Research (DOT)	1
Transportation Planning Director	Bureau of Planning/Research (DOT)	1
Transportation Planning Asst. 2	Bureau of Planning/Research (DOT)	5
Planning Positions DOT Total		16
Total Filled		82

Source: Department of Administrative Services

APPENDIX D
Planning and Performance Frameworks for Virginia and Washington



Gregoire Management Framework

